

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Baker, Kristine G.	2. Court or Organization Eastern District of Arkansas	3. Date of Report 06/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States District Court - Eastern District of Arkansas 500 West Capitol Avenue, Room D 444 Little Rock, Arkansas 72201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	Arbor Enterprises, LLC
2.	Member	Wasserliebend, LLC
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 12/31/2016

MWSGW Ordinary business income

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Chase #1	Credit card	J
2.	Chase #2	Credit card	J
3.	Am. Express	Credit card	J
4.			
5.			

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Brokerage Acct. #1: (H)									
2. Am. Funds Int'l Growth & Income Fund	B	Dividend	L	T					
3. Am. Funds Europac. Fund	A	Dividend	K	T					
4. Am. Funds Growth Fund of Am.	E	Dividend	N	T	Buy (add'l)	01/05/16	J		
5.					Buy (add'l)	02/11/16	J		
6.					Buy (add'l)	02/17/16	J		
7.					Buy (add'l)	06/13/16	J		
8.					Buy (add'l)	07/15/16	J		
9.					Buy (add'l)	08/17/16	J		
10.					Buy (add'l)	10/31/16	J		
11.					Buy (add'l)	11/15/16	J		
12.					Buy (add'l)	12/12/16	J		
13. Am. Funds New World Fund	B	Dividend	M	T					
14. Am. Funds Smallcap World Fund	A	Dividend	L	T					
15. Am. Funds Washington Mut. Fund	D	Dividend	M	T					
16. Am. Funds Global Balanced Fund	B	Dividend	M	T					
17. Brokerage Acct. #2 (Y)(H)									

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Brokerage Acct. #3: (H)									
19. Am. Funds Growth Fund of Am.	B	Dividend	K	T					
20. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
21. Invesco Constellation Fund	B	Dividend	K	T					
22. Am. Funds Europac. Fund	A	Dividend	J	T					
23. Am. Funds New Economy Fund	A	Dividend	K	T					
24. Am. Funds Small Cap World Fund	A	Dividend	K	T					
25. Brokerage Acct. #4 (Y) (H)									
26. Brokerage Acct. #5: (H)									
27. Am. Funds Europac. Fund	A	Dividend	K	T	Buy (add'l)	01/11/16	J		
28. Am. Funds New Economy Fund	B	Dividend	K	T	Buy (add'l)	01/11/16	J		
29. Brokerage Acct. #6: (H)									
30. Am. Funds Europac. Fund	A	Dividend	K	T	Buy (add'l)	01/11/16	J		
31. Am. Funds New Economy Fund	B	Dividend	K	T	Buy (add'l)	01/11/16	J		
32. Brokerage Acct. #7: (H)									
33. Vanguard Age-Based Moderate Growth		None	M	T	Buy (add'l)	05/06/16	J		
34. Brokerage Acct. #8: (H)									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. American Funds 2024 Fund	D	Dividend	M	T	Buy (add'l)	01/11/16	J		
36. Brokerage Acct. #9: (H)									
37. Vanguard Age-Based Growth		None	M	T	Buy (add'l)	06/28/16	J		
38. Brokerage Acct. #10: (H)									
39. American Funds 2024 Fund	C	Dividend	M	T	Buy (add'l)	01/12/16	J		
40.					Buy (add'l)	06/28/16	J		
41.					Buy (add'l)	08/04/16	J		
42. Centennial Bank (Y)									
43. Central Bank	A	Interest	K	T					
44. Simmons Bank	A	Interest	K	T					
45. Membership Interest in Arbor Enterprises, LLC: (H)									
46. Simmons Bank	A	Interest	L	T					
47. Arbor Brokerage Acct. #1: (H)									
48. Am. Funds Int'l Growth Fund of Am.	A	Dividend	K	T	Sold (part)	11/29/16	J	D	
49. Am. Funds Growth Fund of Am.	C	Dividend	L	T	Buy (add'l)	01/12/16	J		
50. Am. Funds New World Fund	A	Dividend	J	T					
51. Am. Funds Smallcap World Fund	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Am. Funds Washington Mut. Fund	B	Dividend	K	T					
53. Arbor Brokerage Acct. #2: (H)									
54. Am. Funds Fundamental Investors Fund	A	Dividend	K	T	Buy (add'l)	01/11/16	J		
55. Am. Funds Growth Fund of Am.	C	Dividend	L	T	Buy (add'l)	01/11/16	J		
56. Am. Funds Europac. Fund	B	Dividend	K	T	Buy (add'l)	01/11/16	J		
57. American Beacon Stephens Mid Cap Growth Fund	A	Dividend	J	T	Sold (part)	11/23/16	J	C	
58. American Beacon Stephens Small Cap Growth Fund	A	Dividend	K	T	Sold (part)	11/23/16	J	C	
59. Membership Interest in Wasserliebend, LLC: (H)									
60. Developed parcel in [REDACTED]		None	M	W					
61. Undeveloped parcel 1 in [REDACTED], [REDACTED]		None	J	W					
62. Undeveloped parcel 2 in [REDACTED], [REDACTED]		None	J	W					
63. Undeveloped parcel 3 in [REDACTED], [REDACTED]		None	J	W					
64. Simmons First National Bank (ckg. acct.)		None	J	T					
65. Membership interest in Mitchell Williams	A	Int./Div.	L	U					
66. Membership interest in [REDACTED] [REDACTED]	B	Rent	M	W					
67. Brokerage Acct. #11: (H)									
68. Am. Funds Global Balanced Fund	A	Dividend	J	T					

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. Am. Funds Europac. Fund	A	Dividend	K	T					
70. Am. Funds Fundamental Investors Fund	B	Dividend	K	T					
71. Am. Funds Growth Fund of Am.	C	Dividend	L	T					
72. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
73. Am. Funds Smallcap World Fund	A	Dividend	J	T					
74. Am. Funds Washington Mutual Fund	C	Dividend	K	T					
75. Brokerage Acct. #12: (H)									
76. Am. Funds Int'l Growth & Income Fund	A	Dividend	J	T					
77. Am. Funds Europac. Fund	A	Dividend	K	T					
78. Am. Funds Growth Fund of Am.	C	Dividend	L	T					
79. Am. Funds Smallcap World Fund	A	Dividend	K	T					
80. Am. Funds Washington Mut. Fund	C	Dividend	L	T					
81. Other Bank Accts.: (H)									
82. Other Bank Acct. - Simmons #1		None	J	T					
83. Other Bank Acct. - Simmons #2		None	J	T					
84. Other Bank Acct. - Simmons #3		None	J	T					
85. Other Bank Acct. - Simmons #4		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 17 (Y): Brokerage Acct. #2 was closed in 2013, with assets being transferred to other existing brokerage accounts as reported on the 2013 Annual Report.

Line 25 (Y): Brokerage Acct. #4 was closed in 2013, with assets being transferred to other existing brokerage accounts as reported on the 2013 Annual Report.

Line 42 (Y): This account was closed in 2015 with assets being transferred to the account at Line 43.

Line 47: This Arbor Brokerage Account #1 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

Line 53: This Arbor Brokerage Account #2 has assets held by Arbor Enterprises, LLC, of which the filer is a member.

Lines 82 - 85: These accounts are reportable in 2016 because these accounts are at the same financial institution and the accounts' aggregate value at the end of the period is more than \$5,000.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Kristine G. Baker**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544